



PATENTS

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant(s):** Nicholas J. Deacon,  
et al.

**Examiner:** Parkin

**Serial No.:** 09/146,783

**Art Unit:** 1641

**Filed:** September 3, 1998

**Docket:** 9606Z-IY

**For:** NON-PATHOGENIC STRAINS OF  
HIV-1

**Dated:** April 12, 1999

Assistant Commissioner for Patents  
Washington, DC 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with the provisions of 37 C.F.R. §§1.97 and 1.98, it is respectfully requested that the following disclosures, which are also listed on the attached form PTO-1449 be made of record in the above-identified case.


1. U.S. Patent No. 5,221,610 to Montagnier et al., issued June 22, 1993.
2. WO 87/06259, published October 22, 1987.
3. WO 90/13641, published November 15, 1990.
4. WO 91/05864, published May 2, 1991.
5. WO 91/19795, published December 26, 1991.

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on April 12, 1999

Dated: April 12, 1999

  
Ann R. Pokalsky

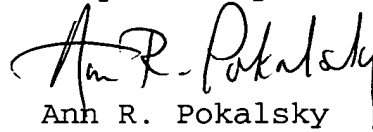
6. WO 92/00987, published January 23, 1992.
7. WO 94/17825, published August 18, 1994.
8. WO 94/29437, published December 22, 1994.
9. Daniel et al. (1992) "Protective Effects of a Live Attenuated SIV Vaccine with a Deletion in nef Gene," Science 258:1938-1941.
10. Derwent WPAT Online Abstract Accession No. 93-146253 (March 30, 1993).
11. Kestler III et al. (1991) "Importance of the nef Gene for Maintenance of High Virus Loads and for Development of AIDS," Cell 65:651-662.
12. Learmont et al. (1992) "Long-Term Symptomless HIV-1 Infection in Recipients of Blood Products from a Single Donor," The Lancet 340(8824): 863F-867.
13. Ojwang et al. (1992) "Inhibition of Human Immunodeficiency Virus Type I Expression by a Hairpin Ribozyme," Proc. Natl. Acad. Sci. USA 89:10802-10806.

Pursuant to 37 C.F.R. §1.98(d), copies of the above-listed publications are not provided, as the references were previously submitted to the Examiner in connection with the parent case, Serial Number: 08/633,792 filed on July 1, 1996.

Consideration of this Information Disclosure Statement is respectfully requested, since the art provided may be material to the examination of the present application as defined under 37 C.F.R. §1.56.

Inasmuch as this Information Disclosure Statement is being mailed prior to the issuance of a first Official Action, no fee or certification is required.

Respectfully submitted,

A handwritten signature in cursive script, appearing to read "Ann R. Pokalsky".

Ann R. Pokalsky  
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GP 1641

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

9606Z-IV

In Re Application Of:

Nicholas J. Deacon, et al.

APR 15 1999

PATENT & TRADEMARK OFFICE

Filing Date

September 3, 1998

Examiner

Parkin

Group Art Unit

1641

Title:

**NON-PATHOGENIC STRAINS OF HIV-1**

Address to:

Assistant Commissioner for Patents

Washington, D.C. 20231

APR 19 1999

GROUP 180

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

9606Z-IY

In Re Application Of:

Nicholas J. Deacon, et al.

APR 15 1999

Serial No.

09/146,783

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Group Art Unit

1641

Title:

NON-PATHOGENIC STRAINS OF HIV-1

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.
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*Ann R. Pokalsky*  
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Dated: April 12, 1999

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